



3

DECLARATION FOR PATENT APPLICATION

As the below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter that is claimed and for which a patent is sought on the invention entitled **NUCLEIC ACIDS AND ENCODED POLYPEPTIDES ASSOCIATED WITH BIPOLAR DISORDER**, the specification of which

_____ is attached hereto as Attorney Docket No. _____).

XX was filed on August 2, 2001
as Application Serial No. 09/922,225
(Attorney Docket No. P-EA 4672)

and was amended on (or amended through) _____.
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to myself to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

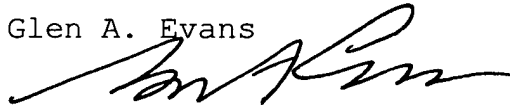
Under Sec. 1.56, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and (1) It

Inventor: Glen A. Evans
Serial No.: 09/922,225
Filed: August 2, 2001
Page 2

establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or (2) It refutes, or is inconsistent with, a position the applicant takes in: (a) Opposing an argument of unpatentability relied on by the U.S. Patent and Trademark Office, or (b) Asserting an argument of patentability.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of inventor: Glen A. Evans

Inventor's signature: 

Date: Aug 22, 2001

Residence: San Marcos, California 92069

Citizenship: United States of America

Post Office Address: 1652 Via Cancion,
San Marcos, California 92069



SMALL ENTITY STATEMENT

Attorney Docket No.: P-EA 4672

Serial No.: 09/922,225

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Attention: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231, on October 18, 2001.

By

A handwritten signature in cursive script that reads "Astrid R. Spain".

Astrid R. Spain, Reg. No. 47,956

October 18, 2001

Date of Signature



#4

PATENT

Our Docket: P-EA 4672

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:)
Glen A. Evans)
Serial No. 09/922,225)
Filed: August 2, 2001)
For: NUCLEIC ACIDS AND)
ENCODED POLYPEPTIDES)
ASSOCIATED WITH BIPOLAR)
DISORDER)

Commissioner for Patents
Washington, D.C. 20231

Sir:

SMALL ENTITY STATEMENT

The U.S. Patent and Trademark (USPTO) permits parties that establish status as a Small Entity to pay certain reduced fees (all citations to 37 C.F.R. § 1.27 except as noted). To be entitled to Small Entity Status, a party must be at least one of the following:

(1) Individual person:

An individual person, including an inventor and persons to whom an inventor has transferred some rights in the invention. § 1.27(a)(1).

(2) Small business concern:

A business concern whose number of employees, including affiliates, does not exceed 500 persons. § 1.27(a)(2) (incorporating 13 C.F.R. § 121.802).

"Business concern" means individual proprietorship, partnership, limited liability company, corporation, joint venture, association,

Inventor: Glen A. Evans
Serial No.: 09/922,225
Filed: August 2, 2001
Page 2

trust or cooperative. If the concern is a joint venture, participation by foreign business entities may not be more than 49%. 13 C.F.R. § 121.105.

The "number of employees" is the average number of employees, including the employees of its domestic and foreign affiliates, based on numbers of employees for each of the pay periods for the preceding completed 12 calendar months.

"Employees" includes all individuals employed on a full-time, part-time, temporary, or other basis. Part-time and temporary employees are counted the same as full-time employees. If a concern has not been in business for 12 months, use the average number of employees for each of the pay periods it has been in business. 13 C.F.R. § 121.106.

Concerns are "affiliates" of each other when one concern directly or indirectly controls or has the power to control the other, or when a third party or parties controls or has the power to control both concerns. 13 C.F.R. § 121.103(a).

(3) Nonprofit organization:

A university or other institution of higher education located in any country. § 1.27(a)(3)(ii)(A).

An organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from taxation under section 501(a). Also included are such organizations located in a foreign country that would qualify if it were located in this country. § 1.27(a)(3)(ii)(B), (D).

A nonprofit scientific or educational organization qualified under a nonprofit organization statute of a U.S. state. Also included are such organizations located in a foreign country that would qualify if it were located in this country. § 1.27(a)(3)(ii)(C), (D).

Inventor: Glen A. Evans
Serial No.: 09/922,225
Filed: August 2, 2001
Page 3

Please note that a license to the Government resulting from a rights determination under Executive Order 10096 does not constitute a license that would prohibit claiming Small Entity Status. Similarly, for small business concerns and nonprofit organizations, a license to a Federal agency resulting from a funding agreement with that agency under 35 U.S.C. § 202(c)(4) is not a license that would prohibit claiming Small Entity Status. § 1.27(a)(4).

I hereby assert that I am empowered to sign on behalf of the party identified below ("Party"). Persons empowered to sign include an inventor him- or herself or an authorized officer of the assignee, where the assignee has at least an undivided part interest in the application or patent. § 1.27(c)(2).

I have made a determination of the Party's entitlement to Small Entity Status, including a determination that all parties holding rights in the invention qualify for Small Entity Status. § 1.27(f).

I hereby assert that the Party has not assigned, granted, conveyed or licensed--and is under no obligation under contract or law to do so--any rights in the invention to any other party that would not qualify as a Small Entity. If the rights in the invention held by the Party are not exclusive, each party having rights in the invention is listed below:

None

Separate assertions of Small Entity Status should be obtained from each party having rights to the invention.

Inventor: Glen A. Evans
Serial No.: 09/922,225
Filed: August 2, 2001
Page 4

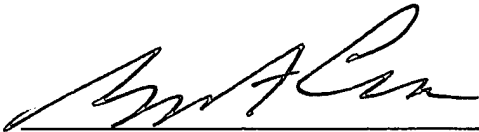
I hereby assert that the Party is entitled to be accorded Small Entity Status by the USPTO for the application or patent identified above. § 1.27(c)(1).

I understand that Small Entity Status must be newly determined when the issue fee and each maintenance fee is due. If there is any change resulting in loss of entitlement to Small Entity Status, I acknowledge the duty to file a notification to the USPTO in this application or patent before or upon paying the fee. § 1.27(g).

I understand that Small Entity Status must be separately established in any related application, including continuation, divisional, continuation-in-part, continued prosecution application or reissue application. § 1.27(c)(4).

I understand that any attempt to establish Small Entity Status improperly, deceptively or fraudulently will be considered a fraud practiced on the USPTO and may result in abandonment of the application or jeopardize the validity and enforceability of any resulting patent. § 1.27(h).

Aug 27, 2001
Date


Name: Glen A. Evans
Title: C.E.O.

EGEA BIOSCIENCES INC.
6759 Mesa Ridge Road,
Suite 100
San Diego, California 92121

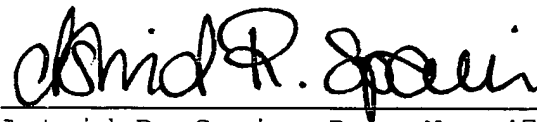
**POWER OF ATTORNEY FOR PATENT
APPLICATION**

Attorney Docket No.: P-EA 4672

Serial No.: 09/922,225

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Attention: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231, on October 18, 2001.

By



Astrid R. Spain, Reg. No. 47,956

October 18, 2001

Date of Signature



POWER OF ATTORNEY FOR PATENT APPLICATION BY ASSIGNEE

Assignee EGEA BIOSCIENCES INC., is the owner of the entire right, title and interest of U.S. patent application Ser. No. 09/922,225, filed on August 2, 2001 as attorney docket number P-EA 4672, and entitled NUCLEIC ACIDS AND ENCODED POLYPEPTIDES ASSOCIATED WITH BIPOLAR DISORDER, and any subsequently filed divisional, continuation, continuation-in-part or reissue application, including international and foreign applications claiming priority thereto.

The Assignee hereby appoints the following attorneys to prosecute these applications and to transact all related business in the United States Patent and Trademark Office and any international and foreign patent offices:

CATHRYN CAMPBELL, Registration No. 31,815; DAVID A. GAY, Registration No. 39,200; CALVIN A. FAN, Registration No. 38,444; ANDREA L. GASHLER, Registration No. 41,029; JAMES J. WONG, Registration No. 34,949; DEBORAH L. CADENA, Registration No. 44,048; MELANIE K. WEBSTER, Registration No. 45,201; ASTRID R. SPAIN, Registration No. 47,956; MARGARET M. PARR, Registration No. 48,111; and KIMBERLY J. PRIOR, Registration No. 41,483.

Please direct all telephone calls to Cathryn Campbell at (858) 535-9001 and address all correspondence to:

CATHRYN CAMPBELL
CAMPBELL & FLORES LLP
4370 La Jolla Village Drive
7th Floor
San Diego, California 92122
USPTO CUSTOMER NO. 23601

Inventor: Glen A. Evans
Serial No.: 09/922,225
Filed: August 2, 2001
Page 2

The undersigned is authorized to sign on behalf of the
Assignee.

Signature:



Name (typed):

Glen A. Evans

Title:

C. S. O.

Assignee:

EGEA BIOSCIENCES, INC.

Date:

Aug 27, 2001



STATEMENT UNDER 37 C.F.R. § 3.73(b)

Title of Application: NUCLEIC ACIDS AND ENCODED POLYPEPTIDES
ASSOCIATED WITH BIPOLAR DISORDER

Application Ser. No.: 09/922,225

Filed: August 2, 2001

Inventor: Glen A. Evans

Attorney Docket No.: P-EA 4672

EGEA BIOSCIENCES INC., a CORPORATION, states that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the application. A copy of the executed assignment, submitted for recording, is attached hereto as documentary evidence of the chain of title to the assignee.

The undersigned is empowered to sign this statement on behalf of the assignee.

Date:

Aug 27, 2001

Signature:

Glen A. Evans

Name:

Glen A. Evans

Title:

C. E. O.

COPY

SOLE

ASSIGNMENT

This Assignment is made by Glen A. Evans of San Marcos, Assignor, to EGEA BIOSCIENCES INC., Assignee, having a place of business at 6759 Mesa Ridge Road, Suite 100, San Diego, California 92121.

WHEREAS, Assignor has invented new and useful NUCLEIC ACIDS AND ENCODED POLYPEPTIDES ASSOCIATED WITH BIPOLAR DISORDER for which an application for United States Letters Patent was filed on August 2, 2001, in the United States Patent and Trademark Office, bearing Serial No. 09/922,225 and identified as Attorney Docket No. P-EA 4672.

WHEREAS, Assignor believes that Assignor is the original inventor of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, the parties desire to have a recordable instrument assigning the entire right, title and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, in accordance with the obligations to assign the invention and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor sells, assigns, and transfers to Assignee, the entire right, title, and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, Assignor and Assignor's legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording, or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Inventor: Glen A. Evans
Serial No.: 09/922,225
Filed: August 2, 2001
Page 2

Assignor represents and warrants that Assignor has not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed divisional, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignor has executed this Assignment on the date(s) provided below.

Assignor: Glen A. Evans

Glen A. Evans Aug 27, 2001
Signature Date

STATE OF California)
COUNTY OF San Diego)

On August 27, 2001, before me, Cathleen Ann Colacino personally appeared GLEN A. EVANS,
_____ personally known to me - OR - X proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS by hand and official seal.

Cathleen Ann Colacino
(Signature of Notary)

